

DEPARTMENT OF THE ARMY

U.S. Army Engineer Division, Great Lakes and Ohio River
Corps of Engineers
P.O. Box 1159

CELRD-HR Cincinnati, OH 45201-1159

Pamphlet
No. 690-1-4

30 July 1999

Civilian Personnel
TOTAL ARMY PERFORMANCE EVALUATION SYSTEM (TAPES)

Local supplements to this pamphlet are permitted for individual commander's policies and procedures. One copy of supplements will be furnished to Commander, U.S. Army Engineer Division, Great Lakes and Ohio River, ATTN: CELRD-HR, P.O. Box 1159, Cincinnati, Ohio 45201-1159.

1. Purpose. To communicate policy for civilian performance appraisal under the Total Army Performance Evaluation System (TAPES). This pamphlet should be used with DA Pamphlet No. 690-400 which provides specific guidance concerning performance evaluation requirements and information concerning appropriate use of forms. Please note, however, that the DA Pamphlet was not revised when AR 690-400, Chapter 4302 was changed. Where there is a conflict between the provisions of the DA Pamphlet and this pamphlet, the provisions of this pamphlet and the AR will prevail.

2. Objective. Performance management is the systematic process by which an activity involves its employees, as individuals and members of a group, in improving organizational effectiveness in the accomplishment of the Army's mission and goals. This pamphlet describes Army's implementation of a performance management system which improves Total Army performance by:

a. Communicating organizational goals and priorities, and Army values and ethics to employees.

b. Establishing individual expectations for performance that reflect organizational goals and priorities.

*This pamphlet supersedes CELRDP 690-1-4, 24 March 1998.
This pamphlet expires 29 July 2002.

c. Facilitating frequent discussion among the Ratee and the rating chain about performance, expectations, professional development, and DA values and ethics.

d. Providing an environment where all understand that they are important members of the Army Team - in which they are recognized for their achievement, counseled and assisted in areas in which they can improve, encouraged to take responsibility for doing things better and to support team endeavors, and challenged to develop professionally and to perform at their full potential.

e. Requiring annual written individual performance evaluations that provide supervisors and managers with tools for systematically accessing performance results and using the results to make decisions concerning compensation, training, rewards, reassignments, promotions, reductions in grade, retention, reduction in force, and removal, and for providing a sound and continuing basis for effective supervisor-subordinate partnerships in pursuit of common goals.

3. Applicability. The information in this pamphlet applies to all civilian employees in both the competitive and excepted service except those in the Senior Executive Service and those who occupy temporary positions for which employment is not expected to exceed 120 days in a consecutive 12-month period.

4. References.

- a. Title 5, U.S.C., Chapter 43, Performance Appraisal
- b. 5 C.F.R., Part 430, Performance Management
- c. AR 690-400, Chapter 4302
- d. DA Pamphlet 690-400, Chapter 4302

5. Definitions.

a. Base System. Army's performance appraisal system covering employees in the following pay plans and grades: WL, WG, WS/GS-8/below (excluding Career Interns) and equivalent levels in other pay plans (e.g., Power Plant Trainees).

b. Senior System. Army's performance appraisal system covering employees in the following pay plans and grades: GM, WS/GS-9 and above, employees in equivalent pay plans and grades and Career Interns.

c. Rating Chain. The Rater, Intermediate Rater (optional) and Senior Rater.

d. Rater. The individual in the Ratee's chain of command, normally the immediate supervisor, who establishes performance expectations and who proposes overall performance appraisals and ratings.

e. Intermediate Rater. The individual who occupies a supervisor position in the Ratee's chain of command which falls between that of the Rater and the Senior Rater. Local commanders decide whether or not to include Intermediate Raters in individual rating chains.

f. Senior Rater. The individual in the Ratee's supervisory chain of command who is at a higher level in the organization than the Rater. Senior Raters must approve all rating of record.

6. Responsibilities. Performance management is an inherent responsibility for all those in positions of leadership. Those being rated, developed and recognized through the performance management system also have significant roles.

a. Raters. Raters are responsible for assigning work and for either assisting Ratees in or for establishing job-related expectations for Ratees. They provide information to and obtain feedback from Ratees on DA values and ethics, work-unit goals and priorities, performance, and professional development plans. Specifically, Raters are responsible for:

(1) Identifying Rating Chains to their Ratees.

(2) Communicating organizational goals and priorities to Ratees - both at the beginning of each rating period and throughout the year as changes occur.

(3) Discussing DA values and ethics with Ratees.

(4) Conducting formal performance-related discussions at the mid-point of each rating period and at any other time that needs arise.

(5) Preparing timely written performance appraisals.

(6) Using performance appraisals and ratings to assist them in making sound, equitable personnel decisions.

b. Senior Raters. Senior Raters are responsible for communicating goals, for setting standards of performance and for making DA values and ethics visible to facilitate understanding and adherence by all members in their organizations. They are responsible for assessing individual contributions in the broader perspective of overall mission accomplishment. Senior Raters will:

(1) Review and approve Performance Plans.

(2) Review performance appraisals and assign ratings in a timely manner, assuring accuracy and compliance with requirements.

(3) Make supportable statements about Ratee's performance and potential - based either on personal knowledge and observation or on reliable information provided by subordinate raters.

(4) Consider performance appraisals and ratings when making personnel management and pay decisions.

c. Intermediate Rater. Local commanders will decide whether or not to include Intermediate Raters in the rating chain and will communicate the decision in a local supplement to this regulation. When Intermediate Raters are used, they are responsible for communicating organizational goals, exhibiting DA values and ethics, and reviewing individual performance plans and subsequent appraisals to ensure that they accurately reflect mission needs and individual accomplishments. In fulfilling their responsibilities, Intermediate Raters will:

(1) Review and recommend approval of Performance Plans at the beginning of each rating period and at other times during the rating period that major changes to expectations occur.

(2) Review performance appraisals in a timely manner, either concurring with the proposed ratings or seeking resolution of the disagreement - first with the Rater and then the Senior Rater.

d. Ratees. Ratees are responsible for learning what is expected of them; for discussing their ideas about the work, Army values and professional development goals with Raters; and for performing to the best of their abilities. In fulfilling these responsibilities, individual Ratees will:

(1) Take an appropriate role in developing their performance and professional development plans.

(2) Try to do their work right - and inform their rating chain when they have questions and/or needs, when problems occur or when they believe work could be done better.

(3) Provide the rating chain with timely feedback on their accomplishments that can be used in preparation of the performance appraisal.

7. Components of the Total Army Performance Evaluation System (TAPES). All civilian employees described in paragraph 3 above will be included under either the Base or the Senior systems, which provide for:

a. Written Performance Plans. Employees will have written performance plans which document expectations that are based on organizational mission and goals and that reflect the types of duties and responsibilities listed in their job descriptions. Plans consist of pre-printed Responsibilities (Base System only) and performance standards and individual job-related expectations set forth during performance-related discussions.

(1) The plans, representing joint efforts of Ratees and their rating chains, should be in place within 30 days from the beginning of each rating period.

(2) The plans must be reviewed and approved by the rating chain at least at the beginning of the rating period and any other time that expectations change significantly.

(3) Performance plans are recorded on the Counseling Checklists, DA Form 7223-1 (Base System Civilian Performance Counseling Checklist Record), for the Base System and on the Support Form, DA Form 7222-1 (Senior System Civilian Evaluation Report Support Form), for the Senior System.

(4) Performance Plans become effective on the day they are approved by the Senior Rater.

b. Annual Rating Periods. All Ratees will have pre-established 12-month rating periods. Local commanders will establish the rating periods for Ratees in the Base System and will communicate the rating period to each Base System employee. Ratees in the Senior System are rated in standard annual rating cycles based on pay plan and grade as follows:

(1) GS/GM-13 and above - 1 October - 30 September

(2) WS-13 and above and employees at equivalent levels in other pay plans - 1 July - 30 June

(3) WS/GS-9 through 12 and employees at equivalent levels in other pay plans (except WL and WG) - 1 November - 31 October

(4) Career Interns are rated 6 months after their entry into the position and again at the end of 12 months. This first rating (at 6 months) is considered a Special Rating. The first annual rating is rendered at the end of 12 months. Interns continue on their unique annual rating cycles (based on their entry into the positions) until they complete the Intern Program - at which time they are phased into the standard cyclic rating periods.

c. Official Rating Chain. Each Ratee will have an identified rating chain consisting of at least a Rater and a Senior Rater. The local commander will determine if an Intermediate Rater will also be included in the chain. If the commander is the Rater, he may serve as Senior Rater also.

d. Minimum Rating Period. The minimum rating period is 120 days. Ratees cannot be rated until they perform under approved performance plans for at least 120 days.

e. Special Requirements for Supervision/Leadership, EEO/AA, and Other Responsibilities. Some positions include specific requirements for which clearly defined performance expectations should be developed each rating period. Among these requirements are Supervision and/or Leadership and Equal Employment Opportunity/Affirmative Action (EEO/AA) planned efforts for supervisors and managers; plans to increase competition and achieve cost savings in contracting and of contracting officers to make awards to small business concerns; individual efforts to eliminate wasteful practices and achieve cost savings in inventory management; and discharge of security, internal control, safety, and other relevant responsibilities of the position.

f. Written Performance Appraisals. Written performance appraisals with Overall Performance Ratings will be completed and recorded on DA Form 7223 (Base Civilian Evaluation Report) for the Base System and on DA Form 7222 (Senior System Civilian Evaluation Report) for the Senior System. There are two types of written appraisals: Annual and Special.

g. Objective Ratings. Objective Ratings are the ratings assigned to Objectives in the Senior System. Objective ratings define the level of performance achieved for that Objective as defined in Appendix A.

h. Responsibilities Ratings. Responsibilities Ratings are the ratings assigned each of the Responsibilities in the Base system and define the level of performance achieved for that Responsibility as defined in Appendix A.

i. Overall Rating Formulas. Overall Performance Ratings are derived from formulas. Base system formulas are defined in Appendix B; Senior system formulas are in Appendix C.

j. Ratings for Temporary Promotions. Temporary promotions for 120 days or more require performance plans and normally are documented by special appraisals. However,

a special rating is not prepared when a temporary promotion is ongoing at the end of the Ratee's annual rating cycle. A Ratee temporarily promoted officially occupies the position to which promoted. Therefore, if the Ratee's scheduled annual rating cycle ends while the Ratee is on temporary promotion which has lasted at least 120 days, the Rater of the position to which the employee has been temporarily promoted will prepare the annual appraisal.

k. Ratings for Details. Details for 120 days or more require performance plans and are normally documented by special appraisals. A Ratee who is detailed continues to occupy the position from which detailed. Thus, the Rater of the position to which the employee is detailed will prepare a special appraisal if the Ratee's annual rating cycle ends during the detail. The Rater for the position from which the Ratee is detailed may either attach the special appraisal to the annual appraisal he/she prepares or, if the detail lasted for most of the rating period, adopt the special appraisal as the annual appraisal.

l. Reconsideration Processes. Ratees who are dissatisfied with their performance appraisals should attempt to resolve their dissatisfaction by discussing the matter with officials in their rating chain. An employee who is unable to satisfactorily resolve his or her dissatisfaction informally may request formal reconsideration. The formal request for reconsideration should be submitted as a grievance, either through a negotiated procedure, if applicable, or through the Administrative Grievance Procedure.

m. Performance Which Fails to Meet Expectations. Ratees who fail to meet Responsibilities/Objectives must be so informed in writing, provided guidance and assistance, and given a reasonable opportunity to improve performance. Nonprobationary Ratees who do not improve after being given formal opportunities to do so under Performance Improvement Plans (PIPs) will be reassigned, reduced in grade, or removed in accordance with applicable regulations. The Civilian Personnel Advisory Center (CPAC) will provide assistance in these circumstances.

n. Performance Which "Needs Improvement." At any time during the rating cycle that the Ratee is determined to "Need Improvement" in one or more Responsibilities or

Objectives, the Rater should notify the Ratee and consider providing assistance. Such assistance may include but is not limited to formal training, on the job training, counseling, and closer supervision.

o. Inability to Rate. When an annual rating cannot be prepared at the end of the scheduled rating cycle (e.g., extended illness or Long Term Training of the Ratee), the rating period is extended for the time necessary to meet the minimum 120-day requirement, at which time the annual rating will be prepared. Until a current rating can be prepared, the most recent rating of record remains in effect for all purposes except Reduction in Force (RIF).

p. Forced Distribution. Activities may not prescribe a distribution of rating levels. Ratees must be rated against written, communicated performance expectations and not ranked among other employees.

q. Transfer of Rating. When a Ratee leaves his or her position during the rating period for a detail, temporary promotion or permanent transfer, he or she should be rated in accordance with guidance set forth in Appendix D.

8. Performance Management Linkage. Supervisors and managers will consider performance appraisals and ratings when adjusting base pay and determining performance awards, and when making personnel management decisions concerning training, reassignment, promotion, reduction in grade, reduction in force, and retention and removal of employees.

a. Professional Development. Planning for professional development is an integral part of the performance management process. Along with meaningful performance-related discussions that assist Ratees in reinforcing strengths and correcting weaknesses, professional development opportunities may include classroom training, on-the-job training, mentoring, special assignments, participation in professional and civic organizations, and publishing professional articles. Rating chains should encourage Ratees to seek professional development opportunities and reward them appropriately (e.g., with awards, challenging work assignments, promotions as appropriate) when they succeed in enhancing their value to the organization.

b. Within-Grade Increases.

(1) A Federal Wage System employee receives a Within Grade Increase (WIGI) and advances automatically to the next pay step when they satisfy the time requirements and receive a current rating of record of at least Successful Level 3.

(2) A General Schedule employee must also be rated at Successful Level 3 or higher and satisfy time requirements to be eligible for a Within-Grade Increase (WIGI). However, if the current rating of record does not support an accurate Acceptable Level of Competence (ALOC) determination, the Rater must prepare a new rating of record to justify the ALOC decision.

c. Cash Awards for Performance.

(1) All Ratees rated at Successful Level 3 or higher are eligible for consideration for Performance Awards. Supervisors should grant such awards to those who are deserving based on merit and who have not been otherwise rewarded for their contributions. Nomination and approval of performance-based awards are documented in Part III of the Civilian Evaluation Report Forms, DA Forms 7222 and 7223.

(2) Only GS employees rated Successful Level 1 are eligible for a Quality Step Increase (QSI), which is a one-step increase to base pay.

d. Placement Actions. Supervisors should consider referred employees' recent ratings of record (e.g., the last 3 years) when making placement decisions. Information on appraisals may indicate if and how well employees performed duties relevant to the position for which they are being considered. Ratings history may indicate individual potential to perform different or more responsible work.

9. Probationary or Trial Periods.

a. New Employees. New employees enter a regularly scheduled annual rating period based on their pay plan and grade (except Career Interns as discussed in 7b(4) above). Raters should begin monitoring new employees immediately to

30 July 1999

determine if they are willing and able to perform the work and are otherwise suited for retention in their positions. Although formal PIPs are not required for Ratees who are serving probationary appointments, Raters normally should provide Ratees who are not meeting expectations with enough information to help them understand how they are failing and how they might improve. Upon determination that probationary Ratees either will not or cannot meet expectations, Raters must begin action to terminate them from their positions and/or from Federal service.

b. Supervisory/Managerial Probationary Periods. Employees serving a probationary period for initial appointment to a supervisory/managerial position who do not meet expectations set forth in performance plans that relate to supervisory/managerial responsibilities will be returned to a non-supervisory/non-managerial position. The decision to return the employee to a non-supervisory/non-managerial position can be made at any time during the one-year probationary period. Although formal notice and opportunity to improve are not required, supervisors generally should provide at least enough information so that the Ratee understands specific deficiencies in time to try to make corrections.

c. Removals During Probationary Periods. Decisions to remove probationary employees may be made at any time during the probationary period. The Defense Central Personnel Data System (DCPDS) automated system produces suspense notices to advise Raters to make decisions to retain or remove probationary Ratees no later than the end of the ninth month from the Ratee's appointment. This advance notice is to give Raters enough time to effect necessary actions under the simplified probationary procedures if the Ratee is not to be retained. Notices are distributed by the CPAC.

10. Reassignment, Reduction in Grade, Removal After Completion of a Probationary Period for Unsuccessful Performance. At any time during the rating period that a Ratee who has completed the probationary period fails to meet a Responsibility or Objective, the Rater must provide the Ratee with a Performance Improvement Plan (PIP). A PIP should provide written information to the Ratee on specific deficiencies and necessary improvements and establish a

reasonable time frame in which the Ratee must improve before corrective action is initiated. PIP notices should also define assistance to be provided to help the Ratee meet expectations (e.g., formal training, on-the-job training, coaching and counseling, and closer supervision). Ratees who fail to improve or who improve but fail to sustain the improvements for at least a year from the beginning of the PIP will be reassigned, reduced in grade, or removed.

11. Performance Plans. Performance plans are recorded on DA Form 7223-1, for Ratees in the Base System and on DA Form 7222-1, for Ratees in the Senior System. Both the Rater and the Ratee should keep updated copies of the current performance plan. Copies of applicable performance plans will be attached to completed performance appraisals which are submitted to the CPAC.

12. In-Progress Reviews Documentation. Performance reviews during the rating period should be documented on DA Form 7223-1 for employees in the Base System and on DA Form 7222-1 for employees in the Senior System. If adequate space is not provided on the forms, additional pages may be attached.

13. Written Performance Appraisals.

a. Written Appraisals. Written annual or special performance appraisals will be prepared on DA Form 7223 for Ratees in the Base System and on DA Form 7222 for Ratees in the Senior System. Copies of completed appraisals should be distributed as follows:

(1) Annual Appraisals. Completed annual appraisals should be reproduced in an original and two copies - the original going to the Ratee, one copy retained by the Rater, and one copy submitted to the CPAC for entering into DCPDS and forwarding to the Civilian Personnel Operations Center.

(2) Special Appraisals. Special appraisals should be completed in an original and two copies - the original going to the Ratee; one copy submitted to the Rater of record to be attached to the annual appraisal; and one retained by the Rater of the Special appraisal. Special appraisals are not forwarded to the CPAC when completed. They are attached to the Annual appraisal at the end of the rating period.

b. Corrections to Written Appraisals. Discrepancies in written appraisals should be corrected as soon as possible after they are discovered. Discrepancies can result from causes such as clerical errors that unintentionally change content; from grievances, appeals, or other complaint procedures; or because of new information which has enough impact on the completed appraisal to change the appraisal and/or the rating. Corrective action should include the following:

(1) Preparation of a corrected performance appraisal, DA Form 7222 or DA Form 7223, to include signatures by the appropriate raters.

(2) Destruction of official copies of the erroneous performance appraisal.

(3) Appropriate distribution of the corrected appraisal.

(4) Adjustment to personnel actions which were based on the erroneous overall performance rating.

FOR THE COMMANDER:

4 Appendices	/s/
APP A--Level of Performance	SEAN M. WACHUTKA
Definitions for	Colonel, Corps of Engineers
Objectives and	Deputy Commander
Responsibilities	
APP B--Base System Overall	
Rating Formulas	
APP C--Senior System Overall	
Rating Formulas	
APP D--Guidance on Written	
Performance Appraisals	

DISTRIBUTION:

B
CELRD Directors and Office Chiefs
CELRD-GL-DD
CELRD-IM-S (5 cys)